

## **INSTRUCTIONS FOR FILING THE THIRD PARTY ADMINISTRATORS ANNUAL REPORT**

These instructions are provided to assist you in completing and filing the TPA Annual Report and to address common questions. On or before June 30<sup>th</sup>, all TPAs licensed in Texas as of December 31<sup>st</sup> are required to file an annual report (Chapter 4151.205 Texas Insurance Code). **THERE IS NO STATUTORY PROVISION FOR AN EXTENSION OF THIS DEADLINE.** All forms are available from our website at <http://www.tdi.state.tx.us/forms/form5tpa.html>. The TPA annual report is the submission of FIN486 for third party administrators or FIN487 for Insurance Companies/HMO's registered as TPAs. Although we request a copy of your financial report, we also require the TPA Annual Report and Exhibits A-E FIN488. If you are not doing business in Texas, but still licensed as of the end of the year, you are required to file an annual report indicating no plans and no Texas participants. The same requirement applies to the maintenance tax filing. Even if you did not do business in Texas, you are still required to file a zero return with the Texas Comptroller. If you need to cancel the license, please return it with a request for cancellation with your annual report.

### **TPAs FILING FIN486** (*This submission has a \$200.00 filing fee*):

- Complete Exhibits A-E FIN488. Download the forms from <http://www.tdi.state.tx.us/forms/form5tpa.html> complete and email them to [TPA@tdi.state.tx.us](mailto:TPA@tdi.state.tx.us) or print and mail with the annual report. **PLEASE total the applicable columns.**
- Transfer the total number of plans and lives identified in the Exhibits to Section 7 of FIN486.
- Date and sign form.
- Report any changes in contact information on the back.
- Submit any changes to your organizational documents.
- Complete an Officers and Directors Page – FIN306.
- Provide a copy of your current financial statement (include FIN490 if applicable).
- Provide a photo COPY of the completed maintenance tax form filed with Texas Comptroller's Office. [www.window.state.tx.us/taxinfo/taxforms/25-102.pdf](http://www.window.state.tx.us/taxinfo/taxforms/25-102.pdf)

### **INSURERS/HMO's FILING FIN487** (*This submission has a \$200.00 filing fee*):

- Complete Exhibits A-E FIN488. Download these forms from <http://www.tdi.state.tx.us/forms/form5tpa.html> complete and email them to [TPA@tdi.state.tx.us](mailto:TPA@tdi.state.tx.us) or print and mail with the annual report. **Please total the applicable columns.**
- Transfer the total number of plans and lives identified in the Exhibits to Section 3 of FIN487.
- Date and sign form.
- Report any changes in contact information on the back.
- Provide updates to the narrative on file with TDI.
- Provide a photo COPY of the completed maintenance tax form (see line 12) filed with Texas Comptroller's Office [www.window.state.tx.us/taxinfo/taxforms/25-102.pdf](http://www.window.state.tx.us/taxinfo/taxforms/25-102.pdf).

Any questions regarding these instructions may be directed to: [TPA@tdi.state.tx.us](mailto:TPA@tdi.state.tx.us)

**TEXAS DEPARTMENT OF INSURANCE  
TPA Section/MC 305-TPA/PF  
P. O. Box 149104, Austin, Texas 78714-9104**

**OVERNIGHT MAIL: TEXAS DEPARTMENT OF INSURANCE  
TPA Section/MC 305-TPA/PF  
333 Guadalupe Street, Austin, TX 78701**

## FREQUENTLY ASKED QUESTIONS (FAQ's) FOR COMPLETING THE ANNUAL REPORT

- **CAN WE GET AN EXTENSION OF THE JUNE 30<sup>TH</sup> DEADLINE?**  
Texas Insurance Code Chapter 4151.205 requires licensed TPAs to file an annual report on or before June 30<sup>th</sup> of each year. The postmark is used to determine the date "filed" on reports received after June 30<sup>th</sup>. There are no provisions for extensions. Please mail in your annual report with as much information as you have available along with the \$200.00 and let us know when to expect the missing information.
- **WHAT IS THE STREET ADDRESS TO OVERNIGHT MY REPORT?**  
**TEXAS DEPARTMENT OF INSURANCE**  
**TPA SECTION/MC 305-TPA/PF**  
**333 Guadalupe Street**  
**Austin, TX 78701**
- **WHERE CAN I GET THE MAINTENANCE TAX FORMS REFERRED TO IN THE FIN486 ANNUAL REPORT FORM AND WHEN IS IT DUE?**  
The forms can be downloaded from [www.window.state.tx.us/taxinfo/taxforms/25-102.pdf](http://www.window.state.tx.us/taxinfo/taxforms/25-102.pdf). The maintenance tax filing is still due March 1<sup>st</sup> of each year. Administrators should report compensation for Texas business on Line 12 of the form.
- **WHICH OFFICERS NEED TO COMPLETE BIOGRAPHICAL AFFIDAVITS?**  
Submit biographical affidavits on the President, Secretary, Treasurer, Chief Financial Officer, Chairman of the Board, Directors and Controlling Shareholders (as listed on the Officers & Directors Page) for corporations. It is not necessary to submit a biographical affidavit on Vice Presidents unless they also serve as one of the other **key officers** or as a **director**. **TEXAS NO LONGER ACCEPTS FINGERPRINT CARDS.** We require a receipt from an electronic fingerprinting service. Fingerprint receipts are required with the biographical affidavits for an individual who has not previously filed a biographical affidavit with the Texas Department of Insurance. Forms can be downloaded from: <http://www.tdi.state.tx.us/forms/form5tpa.html>
- **WE HAVE NOT CONTRACTED WITH ANY GROUPS/PLANS IN TEXAS BUT HAVE CLIENTS THAT HAVE TEXAS RESIDENTS RECEIVING BENEFITS. DO WE NEED THE TPA LICENSE TO PAY CLAIMS OR COLLECT PREMIUMS?**  
The Texas TPA statute requires the administrator to be licensed if you pay claims or collect premiums for Texas residents regardless of where the plan is issued/located.
- **WE HAVE HAD THIS LICENSE FOR SOME TIME BUT CURRENTLY HAVE NO ACCOUNTS IN TEXAS. DO WE STILL NEED TO FILE THE ANNUAL REPORT?**  
**YES.** All licensed administrators are required to file a report and maintain current information on file with the Department, including ownership, officers & directors, organizational information, as well as a current contact person and address.
- **WE ARE ADMINISTERING HUNDREDS OF INDIVIDUAL POLICIES ON BEHALF OF SEVERAL INSURANCE COMPANIES. DO I NEED TO LIST EACH OF THOSE ON EXHIBIT A?**  
**NO**, please list the carriers and show "various" for policy no. and effective date.
- **EXHIBIT A FIN488 HAS A COLUMN (K) FOR "TOTAL NO. CLAIMS PAID - LAST 12 MO" – DO YOU WANT DOLLAR AMOUNTS?**  
**NO**, we want the total **number of claims paid** and that number should include those claims that were adjudicated but no check was issued.
- **EXHIBIT C NO LONGER SHOWS SELF-FUNDED ERISA PLANS. DOES THE DEPARTMENT NO LONGER COLLECT THIS DATA?**  
That is correct. We no longer collect data on self-funded ERISA plans.